

04-30-01 A

04/27/01
J-962 U.S. PTO

PTO/SB/05 (03-01)

Approved for use through 10/31/2002 OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 01-40068-US

First Inventor Willis et al.

Title Computer-Implemented Method And Apparatus For Adjusting The Cost Basis Of Assets

Express Mail Label No. EL182296801US

APPLICATION ELEMENTS		ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231	
See MPEP chapter 600 concerning utility patent application contents.			
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <small>Submit an original and a duplicate for fee processing</small>		7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)	
2. <input checked="" type="checkbox"/> Applicant claims small entity status. <small>See 37 CFR 1.27.</small>		8. Nucleotide and/or Amino Acid Sequence Submission <small>(if applicable, all necessary)</small>	
3. <input checked="" type="checkbox"/> Specification [Total Pages 51] <small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none"> - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (<i>if filed</i>) - Detailed Description - Claim(s) - Abstract of the Disclosure 		a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: <ul style="list-style-type: none"> i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies	
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 15]		9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))	
5. Oath or Declaration [Total Pages 3]		10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney <small>(when there is an assignee)</small>	
a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) <small>(for continuation/divisional with Box 18 completed)</small>		11. <input type="checkbox"/> English Translation Document (<i>if applicable</i>)	
i. <input type="checkbox"/> DELETION OF INVENTOR(S) <small>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</small>		12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations	
6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76		13. <input type="checkbox"/> Preliminary Amendment	
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76: <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No. _____ / _____ <small>Prior application information: Examiner _____ Group Art Unit _____</small>			
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.			
19. CORRESPONDENCE ADDRESS			
<input checked="" type="checkbox"/> Customer Number or Bar Code Label 		<input type="checkbox"/> Correspondence address below	
Name		07066	
Address		PATENT TRADEMARK OFFICE	
City		State	Zip Code
Country		Telephone	Fax
Name (Print/Type)		Registration No. (Attorney/Agent) 45,730	
Signature 		Date 4/27/01	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 615.00)

Complete if Known

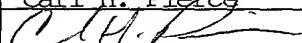
Application Number	Not yet assigned
Filing Date	April 27, 2001
First Named Inventor	Willis et al.
Examiner Name	Not yet assigned
Group Art Unit	Not yet assigned
Attorney Docket No.	01-40068-US

METHOD OF PAYMENT		FEE CALCULATION (continued)																																																																																																																																	
<p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to Deposit Account Number 18-0586</p> <p>Deposit Account Name Reed Smith LLP</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input checked="" type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27</p>		<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> <tr> <th>Fee Code (\$)</th> <th>Fee Code (\$)</th> <th>Fee Code (\$)</th> <th></th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65 Surcharge - late filing fee or oath</td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25 Surcharge - late provisional filing fee or cover sheet</td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130 Non-English specification</td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520 For filing a request for ex parte reexamination</td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920* Requesting publication of SIR prior to Examiner action</td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840* Requesting publication of SIR after Examiner action</td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55 Extension for reply within first month</td></tr> <tr><td>116</td><td>390</td><td>216</td><td>195 Extension for reply within second month</td></tr> <tr><td>117</td><td>890</td><td>217</td><td>445 Extension for reply within third month</td></tr> <tr><td>118</td><td>1,390</td><td>218</td><td>695 Extension for reply within fourth month</td></tr> <tr><td>128</td><td>1,890</td><td>228</td><td>945 Extension for reply within fifth month</td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155 Notice of Appeal</td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155 Filing a brief in support of an appeal</td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135 Request for oral hearing</td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510 Petition to institute a public use proceeding</td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55 Petition to revive - unavoidable</td></tr> <tr><td>141</td><td>1,240</td><td>241</td><td>620 Petition to revive - unintentional</td></tr> <tr><td>142</td><td>1,240</td><td>242</td><td>620 Utility issue fee (or reissue)</td></tr> <tr><td>143</td><td>440</td><td>243</td><td>220 Design issue fee</td></tr> <tr><td>144</td><td>600</td><td>244</td><td>300 Plant issue fee</td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130 Petitions to the Commissioner</td></tr> <tr><td>123</td><td>60</td><td>123</td><td>50 Processing fee under 37 CFR 1.17(q)</td></tr> <tr><td>126</td><td>180</td><td>126</td><td>180 Submission of Information Disclosure Stmt</td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40 Recording each patent assignment per property (times number of properties)</td></tr> <tr><td>146</td><td>710</td><td>246</td><td>355 Filing a submission after final rejection (37 CFR § 1.129(a))</td></tr> <tr><td>149</td><td>710</td><td>249</td><td>355 For each additional invention to be examined (37 CFR § 1.129(b))</td></tr> <tr><td>179</td><td>710</td><td>279</td><td>355 Request for Continued Examination (RCE)</td></tr> <tr><td>169</td><td>900</td><td>169</td><td>900 Request for expedited examination of a design application</td></tr> <tr><td colspan="4">Other fee (specify) _____</td></tr> <tr> <td colspan="2">*or number previously paid, if greater; For Reissues, see above</td> <td colspan="2">SUBTOTAL (3) (\$ 40.00)</td> </tr> </tbody> </table>		Large Entity	Small Entity	Fee Description	Fee Paid	Fee Code (\$)	Fee Code (\$)	Fee Code (\$)		105	130	205	65 Surcharge - late filing fee or oath	127	50	227	25 Surcharge - late provisional filing fee or cover sheet	139	130	139	130 Non-English specification	147	2,520	147	2,520 For filing a request for ex parte reexamination	112	920*	112	920* Requesting publication of SIR prior to Examiner action	113	1,840*	113	1,840* Requesting publication of SIR after Examiner action	115	110	215	55 Extension for reply within first month	116	390	216	195 Extension for reply within second month	117	890	217	445 Extension for reply within third month	118	1,390	218	695 Extension for reply within fourth month	128	1,890	228	945 Extension for reply within fifth month	119	310	219	155 Notice of Appeal	120	310	220	155 Filing a brief in support of an appeal	121	270	221	135 Request for oral hearing	138	1,510	138	1,510 Petition to institute a public use proceeding	140	110	240	55 Petition to revive - unavoidable	141	1,240	241	620 Petition to revive - unintentional	142	1,240	242	620 Utility issue fee (or reissue)	143	440	243	220 Design issue fee	144	600	244	300 Plant issue fee	122	130	122	130 Petitions to the Commissioner	123	60	123	50 Processing fee under 37 CFR 1.17(q)	126	180	126	180 Submission of Information Disclosure Stmt	581	40	581	40 Recording each patent assignment per property (times number of properties)	146	710	246	355 Filing a submission after final rejection (37 CFR § 1.129(a))	149	710	249	355 For each additional invention to be examined (37 CFR § 1.129(b))	179	710	279	355 Request for Continued Examination (RCE)	169	900	169	900 Request for expedited examination of a design application	Other fee (specify) _____				*or number previously paid, if greater; For Reissues, see above		SUBTOTAL (3) (\$ 40.00)	
Large Entity	Small Entity	Fee Description	Fee Paid																																																																																																																																
Fee Code (\$)	Fee Code (\$)	Fee Code (\$)																																																																																																																																	
105	130	205	65 Surcharge - late filing fee or oath																																																																																																																																
127	50	227	25 Surcharge - late provisional filing fee or cover sheet																																																																																																																																
139	130	139	130 Non-English specification																																																																																																																																
147	2,520	147	2,520 For filing a request for ex parte reexamination																																																																																																																																
112	920*	112	920* Requesting publication of SIR prior to Examiner action																																																																																																																																
113	1,840*	113	1,840* Requesting publication of SIR after Examiner action																																																																																																																																
115	110	215	55 Extension for reply within first month																																																																																																																																
116	390	216	195 Extension for reply within second month																																																																																																																																
117	890	217	445 Extension for reply within third month																																																																																																																																
118	1,390	218	695 Extension for reply within fourth month																																																																																																																																
128	1,890	228	945 Extension for reply within fifth month																																																																																																																																
119	310	219	155 Notice of Appeal																																																																																																																																
120	310	220	155 Filing a brief in support of an appeal																																																																																																																																
121	270	221	135 Request for oral hearing																																																																																																																																
138	1,510	138	1,510 Petition to institute a public use proceeding																																																																																																																																
140	110	240	55 Petition to revive - unavoidable																																																																																																																																
141	1,240	241	620 Petition to revive - unintentional																																																																																																																																
142	1,240	242	620 Utility issue fee (or reissue)																																																																																																																																
143	440	243	220 Design issue fee																																																																																																																																
144	600	244	300 Plant issue fee																																																																																																																																
122	130	122	130 Petitions to the Commissioner																																																																																																																																
123	60	123	50 Processing fee under 37 CFR 1.17(q)																																																																																																																																
126	180	126	180 Submission of Information Disclosure Stmt																																																																																																																																
581	40	581	40 Recording each patent assignment per property (times number of properties)																																																																																																																																
146	710	246	355 Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																																
149	710	249	355 For each additional invention to be examined (37 CFR § 1.129(b))																																																																																																																																
179	710	279	355 Request for Continued Examination (RCE)																																																																																																																																
169	900	169	900 Request for expedited examination of a design application																																																																																																																																
Other fee (specify) _____																																																																																																																																			
*or number previously paid, if greater; For Reissues, see above		SUBTOTAL (3) (\$ 40.00)																																																																																																																																	
<p>2. <input checked="" type="checkbox"/> Payment Enclosed:</p> <p><input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p>		<p>FEE CALCULATION</p> <p>1. BASIC FILING FEE</p> <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> <tr> <th>Fee Code (\$)</th> <th>Fee Code (\$)</th> <th>Fee Code (\$)</th> <th></th> </tr> </thead> <tbody> <tr><td>101</td><td>710</td><td>201</td><td>355 Utility filing fee</td></tr> <tr><td>106</td><td>320</td><td>206</td><td>160 Design filing fee</td></tr> <tr><td>107</td><td>490</td><td>207</td><td>245 Plant filing fee</td></tr> <tr><td>108</td><td>710</td><td>208</td><td>355 Reissue filing fee</td></tr> <tr><td>114</td><td>150</td><td>214</td><td>75 Provisional filing fee</td></tr> <tr> <td colspan="4">SUBTOTAL (1) (\$ 355)</td> </tr> </tbody> </table> <p>2. EXTRA CLAIM FEES</p> <table border="1"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> <tr> <th>Independent Claims</th> <th></th> <th></th> <th></th> </tr> <tr> <th>Multiple Dependent</th> <th></th> <th></th> <th></th> </tr> </thead> <tbody> <tr><td>40</td><td>-20** = 20</td><td>X 9</td><td>= 180</td></tr> <tr><td>4</td><td>- 3** = 1</td><td>X 40</td><td>= 40</td></tr> <tr><td></td><td></td><td></td><td>=</td></tr> </tbody> </table> <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> <tr> <th>Fee Code (\$)</th> <th>Fee Code (\$)</th> <th>Fee Code (\$)</th> <th></th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>203</td><td>9 Claims in excess of 20</td></tr> <tr><td>102</td><td>80</td><td>202</td><td>40 Independent claims in excess of 3</td></tr> <tr><td>104</td><td>270</td><td>204</td><td>135 Multiple dependent claim, if not paid</td></tr> <tr><td>109</td><td>80</td><td>209</td><td>40 ** Reissue independent claims over original patent</td></tr> <tr><td>110</td><td>18</td><td>210</td><td>9 ** Reissue claims in excess of 20 and over original patent</td></tr> <tr> <td colspan="4">SUBTOTAL (2) (\$ 220.00)</td> </tr> </tbody> </table>		Large Entity	Small Entity	Fee Description	Fee Paid	Fee Code (\$)	Fee Code (\$)	Fee Code (\$)		101	710	201	355 Utility filing fee	106	320	206	160 Design filing fee	107	490	207	245 Plant filing fee	108	710	208	355 Reissue filing fee	114	150	214	75 Provisional filing fee	SUBTOTAL (1) (\$ 355)				Total Claims	Extra Claims	Fee from below	Fee Paid	Independent Claims				Multiple Dependent				40	-20** = 20	X 9	= 180	4	- 3** = 1	X 40	= 40				=	Large Entity	Small Entity	Fee Description	Fee Paid	Fee Code (\$)	Fee Code (\$)	Fee Code (\$)		103	18	203	9 Claims in excess of 20	102	80	202	40 Independent claims in excess of 3	104	270	204	135 Multiple dependent claim, if not paid	109	80	209	40 ** Reissue independent claims over original patent	110	18	210	9 ** Reissue claims in excess of 20 and over original patent	SUBTOTAL (2) (\$ 220.00)																																											
Large Entity	Small Entity	Fee Description	Fee Paid																																																																																																																																
Fee Code (\$)	Fee Code (\$)	Fee Code (\$)																																																																																																																																	
101	710	201	355 Utility filing fee																																																																																																																																
106	320	206	160 Design filing fee																																																																																																																																
107	490	207	245 Plant filing fee																																																																																																																																
108	710	208	355 Reissue filing fee																																																																																																																																
114	150	214	75 Provisional filing fee																																																																																																																																
SUBTOTAL (1) (\$ 355)																																																																																																																																			
Total Claims	Extra Claims	Fee from below	Fee Paid																																																																																																																																
Independent Claims																																																																																																																																			
Multiple Dependent																																																																																																																																			
40	-20** = 20	X 9	= 180																																																																																																																																
4	- 3** = 1	X 40	= 40																																																																																																																																
			=																																																																																																																																
Large Entity	Small Entity	Fee Description	Fee Paid																																																																																																																																
Fee Code (\$)	Fee Code (\$)	Fee Code (\$)																																																																																																																																	
103	18	203	9 Claims in excess of 20																																																																																																																																
102	80	202	40 Independent claims in excess of 3																																																																																																																																
104	270	204	135 Multiple dependent claim, if not paid																																																																																																																																
109	80	209	40 ** Reissue independent claims over original patent																																																																																																																																
110	18	210	9 ** Reissue claims in excess of 20 and over original patent																																																																																																																																
SUBTOTAL (2) (\$ 220.00)																																																																																																																																			

*or number previously paid, if greater; For Reissues, see above

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00)

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Carl H. Pierce	Registration No. (Attorney/Agent)	45,730
Signature		Telephone	215-241-7970
		Date	April 27, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

April 27, 2001

Commissioner for Patents
BOX PATENT APPLICATION
Washington, D.C. 20231

Re: US Utility Application of Willis et. al.
for COMPUTER-IMPLEMENTED METHOD AND
APPARATUS FOR ADJUSTING THE COST BASIS
OF A SECURITY
Filed: April 27, 2001
Attorney Docket No.: 01-40068-US

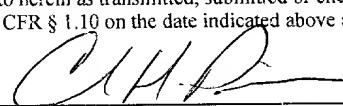
EXPRESS MAIL CERTIFICATE (37 CFR 1.10)

Express Mail Label No EL182296801US

Date of Deposit April 27, 2001

I hereby certify that this paper, and the papers and/or fees referred to herein as transmitted, submitted or enclosed, are being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D C 20231

Name: Carl H. Pierce

Signature 

Dear Sir:

Enclosed for filing in connection with the above-referenced patent application are the following documents:

1. Utility Patent Application Transmittal (1 sheet);
2. Fee Transmittal (1 sheet);
3. Application consisting of: 50 pages of specification, 1 page of abstract and 15 sheets of drawings;
4. Declaration and Power of Attorney (Original);
5. Check in the amount of \$615.00 for payment of the filing fees, excess claims and recording of Assignment document;
6. Assignment (2 sheets);
7. Recordation Sheet (1 sheet); and

2500 One Liberty Place
1650 Market Street
Philadelphia, PA 19103-7301
215.851.8100
Fax 215.851.1420

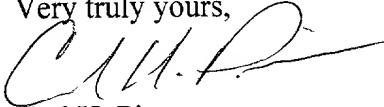
Delaware
New Jersey
New York
Pennsylvania
Virginia
Washington, DC

Commissioner for Patents
April 27, 2001
Page 2

8. A self-addressed stamped postcard, return of which is requested to acknowledge receipt of the enclosed documents.

Kindly acknowledge receipt of these documents by returning the enclosed self-addressed, stamped postcard to me. The Commissioner is hereby authorized to charge any additional fees required in connection with this filing to Account No. 18-0586.

Very truly yours,


Carl H. Pierce

Enclosures